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EXAMINER
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LINDSEY, MATTHEW S

ART UNIT	PAPER NUMBER
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4152

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11/21/2007

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

## Office Action Summary

Application No.

10/809,175

Applicant(s)

NASTACIO ET AL.

Examiner

Matthew S. Lindsey

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 25 March 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-30 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-30 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 25 March 2004 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- ☒ Notice of References Cited (PTO-892)
- ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- ☐ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- ☐ Notice of Informal Patent Application
- ☐ Other: \_\_\_\_\_

### **DETAILED ACTION**

1. Claims 1-30 are pending in this application.

#### ***Drawings***

2. The drawings are objected to as failing to comply with 37 CFR 1.84(p)(5) because they do not include the following reference sign(s) mentioned in the description: "error message 200" (Page 16, lines 8, 10, and 12).

3. The drawings are objected to as failing to comply with 37 CFR 1.84(p)(5) because they include the following reference character(s) not mentioned in the description: Figure 3, objects 361, 362, and 363, and Figure 4, object 400.

4. Corrected drawing sheets in compliance with 37 CFR 1.121(d), or amendment to the specification to add the reference character(s) in the description in compliance with 37 CFR 1.121(b) are required in reply to the Office action to avoid abandonment of the application. Any amended replacement drawing sheet should include all of the figures appearing on the immediate prior version of the sheet, even if only one figure is being amended. Each drawing sheet submitted after the filing date of an application must be labeled in the top margin as either "Replacement Sheet" or "New Sheet" pursuant to 37 CFR 1.121(d). If the changes are not accepted by the examiner, the applicant will be

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notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

### ***Claim Objections***

5. Claim 28 is objected to as it recites the limitation "The computer program product of Claim 20" in line 1. There is insufficient antecedent basis for this limitation in the claim. For the purposes of examination, Claim 28 will be treated as if it were dependent on Claim 21.

### ***Claim Rejections - 35 USC § 102***

6. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

7. **Claims 1-5, 9-16, 19-25, and 28-30 are rejected under 35 U.S.C. 102(e) as being anticipated by Marwaha (Pub No. US 2003/0200486), hereinafter Marwaha.**

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8. With respect to Claim 1, Marwaha discloses: "A method of generating events having a common event format (Page 14, Paragraph [0011], lines 1-4), comprising: obtaining a populated common base event (Page 14, Paragraph [0025], lines 5-8, Figure 2 shows the listener/receiver, 202, which "listens for incoming alerts" (Page 14, Paragraph [0025], lines 3-4), and sends them out to the transformer data normalization, 204) including source specific situation information for an event source (Page 14, Paragraph [0026], line 5, "object", defined later to be "To identify the affected component", Page 15, 1<sup>st</sup> Col., under the Object heading); determining if a format of the populated common base event conforms to a predefined event format (Page 14, Paragraph [0025], lines 8-11); and generating a common event format representation of the populated common base event based on the predefined event format if the format of the populated common base event does not conform to the predefined event format (Page 14, Paragraph [0027], lines 1-3)".

9. With respect to Claim 21, Marwaha discloses: "A computer program product for generating events having a common event format (Page 14, Paragraph [0011], lines 1-4), comprising: a computer readable medium having computer readable program code embodied therein, the computer readable program code comprising: computer readable program code configured to obtain a populated common base event (Page 14, Paragraph [0025], lines 5-8, Figure 2 shows the listener/receiver, 202, which "listens for incoming alerts" (Page 14, Paragraph [0025], lines 3-4), and sends them out to the transformer data normalization, 204) including source specific situation information for

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an event source (Page 14, Paragraph [0026], line 5, "object", defined later to be "To identify the affected component", Page 15, 1<sup>st</sup> Col., under the Object heading); computer readable program code configured to determine if a format of the populated common base event conforms to a predefined event format (Page 14, Paragraph [0025], lines 8-11); and computer readable program code configured to generate a common event format representation of the populated common base event based on the predefined event format if the format of the populated common base event does not conform to the predefined event format (Page 14, Paragraph [0027], lines 1-3)".

10. With respect to Claims 2 and 22, Marwaha discloses: "wherein obtaining the populated common base event comprises obtaining the populated common base event from the event source (Figure 2, object 202, the listener/receiver passes on the alert to the transformer data normalization, 204) and wherein obtaining the common base event is preceded by the event source: obtaining a common base event associated with a content handler (Page 15, Paragraph [0028], lines 1-5, Figure 3, objects 304a, b and c), wherein the predefined event format is defined by the content handler (Page 14, Paragraph [0025], lines 8-11); and populating the common base event with source specific situation information to provide the populated common base event (Page 14, Paragraph [0026], line 5, "object", defined later to be "To identify the affected component", Page 15, 1<sup>st</sup> Col., under the Object heading)".

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11. With respect to Claims 3 and 23, Marwaha discloses: “wherein the source specific situation information is provided in a plurality of event fields (Page 14, Paragraph [0026], lines 2-7) and wherein generating a common event format representation of the populated common base event comprises: determining if ones of the plurality of event fields conform to the predefined event format defined by the content handler (Page 14, Paragraph [0017], lines 1-3, “The following tables show examples of tokens and their values that may be updated”, if the value are to be updated, they are checked against some standard, see Page 15, Paragraph [0030], lines 1-5); modifying the format of the ones of the plurality of event fields that do not conform to the predefined event format (Page 14, Paragraph [0017], lines 1-3, “The following tables show examples of tokens and their values that may be updated”); determining if ones of the plurality of event fields are empty (Page 14, Paragraph [0027], lines 1-3, “The following tables show examples of tokens and their values that may be updated or assigned values”, assigning a value implies the value was not present during an inspection stage); and populating the empty ones of the plurality of event fields with source specific situation information based on the predefined event format (Page 14, Paragraph [0027], lines 1-3, “The following tables show examples of tokens and their values that may be updated or assigned values”).

12. With respect to Claims 4 and 24, Marwaha discloses: “further comprising: providing the common event format representation of the populated common base event to an event server (Page 17, Paragraph [0037], lines 1-2); and storing the

common event format representation of the populated common base event in a data store at the event server (Page 17, Paragraph [0038], lines 1-3)".

13. With respect to Claims 5 and 25, Marwaha discloses: "further comprising: querying the event server to obtain status information of a system associated with the event source based on the stored common event format representation of the populated common base event (Page 17, Paragraph [0045], lines 10-13)".

14. With respect to Claim 9, Marwaha discloses: "The method of Claim 1, wherein obtaining is followed by requesting that the content handler modify the populated common base event based on the predefined event format (Page 14, Paragraph [0027], lines 1-3)".

15. With respect to Claim 28, Marwaha discloses: "The computer program product of Claim 21 (being treated as dependent on Claim 21, not 20, for examination purposes), further comprising computer readable program code configured to request that the content handler modify the populated common base event based on the predefined event format (Page 14, Paragraph [0027], lines 1-3)".

16. With respect to Claims 10 and 29, Marwaha discloses: "wherein the populated common base event comprises a date and/or time stamp (Page 14, Paragraph [0026], lines 3-7, the "OriginDateTime", further defined below as "The date/time that the event



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occurred at the origin" Page 14, 2<sup>nd</sup> Col., under the OriginDateTime heading), a situation type (Page 14, Paragraph [0026], lines 3-7, the "ObjectClass", further defined below as "The category to which the object belongs" Page 15, 1<sup>st</sup> Col. Under the heading "ObjectClass"), an identity of the event source and/or an identity of a component reporting the situation type (Page 14, Paragraph [0026], lines 3-7, the "Object", further defined below as "The affected component for which the event was generated" Page 15, 1<sup>st</sup> Col. Under the heading "Object")".

17. With respect to Claims 11 and 30, Marwaha discloses: "wherein generating comprises automatically generating a common event format representation of the populated common base event based on the predefined event format (Page 14, Paragraph [0027], lines 1-3)".

18. With respect to Claim 12, Marwaha discloses: "A system for generating events having a common event format (Page 14, Paragraph [0011], lines 1-4), comprising: an event source configured to obtain an instance of a common base event object (Page 14, Paragraph [0025], lines 3-4, Figure 2 shows the listener/receiver, 202, which listens for incoming alerts) and populate the common base event object with source specific situation information (Page 14, Paragraph [0025], lines 8-11), the instance of the common base event object incorporating a content handler module (Page 15, Paragraph [0028], lines 1-5, Figure 3, objects 304a, b, and c); and an event emitter module configured to utilize the content handler module of the populated common base

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event object to generate a common event format representation of the populated common base event object (Page 17, Paragraph [0036], lines 1-2 and the following table) and provide the common event format representation of the populated common base event object to an event server (Page 17, Paragraph [0037], lines 1-2, the PEM being described in paragraph [0038] as "PATROL Enterprise Manager ... PATROL resides on individual hosts and monitors different parameters for exceptions, and generates alert information which PEM may gather")".

19. With respect to Claim 13, Marwaha discloses: "The system of Claim 12, further comprising an event factory module configured to generate instances of the common base event object (Figure 3, objects 304a, b and c, Page 15, Paragraph [0030], lines 7-9, the table below this and Paragraph [0031], lines 1-2)".

20. With respect to Claim 14, Marwaha discloses: "The system of Claim 12, wherein the source specific situation information is provided in a plurality of event fields (Page 14, Paragraph [0026], lines 2-7) and wherein the content handler module is further configured to: determine if ones of the plurality of event fields conform to a predefined event format defined by the content handler module (Page 14, Paragraph [0017], lines 1-3, "The following tables show examples of tokens and their values that may be updated", if the value are to be updated, they are checked against some standard, see Page 15, Paragraph [0030], lines 1-5); modify the format of the ones of the plurality of event fields that do not conform to the predefined event format (Page 14, Paragraph

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[0017], lines 1-3, "The following tables show examples of tokens and their values that may be updated"); determine if ones of the plurality of event fields are empty (Page 14, Paragraph [0027], lines 1-3, "The following tables show examples of tokens and their values that may be updated or assigned values", assigning a value implies the value was not present during an inspection stage); and populate the empty ones of the plurality of event fields with source specific situation information based on the predefined event format (Page 14, Paragraph [0027], lines 1-3, "The following tables show examples of tokens and their values that may be updated or assigned values")".

21. With respect to Claim 15, Marwaha discloses: "The system of Claim 12, wherein the event server is further configured to store the common event format representation of the populated common base event object in a data store at the event server (Page 17, Paragraph [0038], lines 1-3)".

22. With respect to Claim 16, Marwaha discloses: "The system of Claim 15, further comprising a consumer module (Figure 3, object 314) configured to query the event server to obtain status information of the system based on the stored common event format representation of the populated common base event object (Page 17, Paragraph [0042], lines 1-6)".

23. With respect to Claim 19, Marwaha discloses: "The system of Claim 12, wherein the populated common base object comprises a date and/or time stamp (Page 14,

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Paragraph [0026], lines 3-7, the "OriginDateTime", further defined below as "The date/time that the event occurred at the origin" Page 14, 2<sup>nd</sup> Col., under the OriginDateTime heading), a situation type (Page 14, Paragraph [0026], lines 3-7, the "ObjectClass", further defined below as "The category to which the object belongs" Page 15, 1<sup>st</sup> Col. Under the heading "ObjectClass"), an identity of the event source and/or an identity of a component reporting the situation type (Page 14, Paragraph [0026], lines 3-7, the "Object", further defined below as "The affected component for which the event was generated" Page 15, 1<sup>st</sup> Col. Under the heading "Object")".

24. With respect to Claim 20, Marwaha discloses: "A system for generating events having a common event format (Page 14, Paragraph [0011], lines 1-4), comprising: means for obtaining a populated common base event (Page 14, Paragraph [0025], lines 5-8, Figure 2 shows the listener/receiver, 202, which "listens for incoming alerts" (Page 14, Paragraph [0025], lines 3-4), and sends them out to the transformer data normalization, 204) including source specific information for an event source (Page 14, Paragraph [0026], line 5, "object", defined later to be "To identify the affected component", Page 15, 1<sup>st</sup> Col., under the Object heading); means for determining if a format of the populated common base event conforms to a predefined event format (Page 14, Paragraph [0025], lines 8-11); and means for generating a common event format if the format of the populated common base event does not conform to the predefined event format (Page 14, Paragraph [0027], lines 1-3)".

***Claim Rejections - 35 USC § 103***

25. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

**26. Claims 6-8, 17-18, and 26-27 are rejected under 35 U.S.C. 103(a) as being unpatentable over Marwaha, as applied to Claims 1, 2, 12, 13, and 21 above, and in view of Natarajan et al. (Patent No. US 6,584,502 B1), hereinafter Natarajan.**

27. With respect to Claim 6 and 26, Marwaha discloses: "obtaining the base event" but doesn't disclose "is preceded by associating an event factory with a directory service".

However Natarajan discloses: "is preceded by associating an event factory with a directory service (Col. 26, lines 6-10)".

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify the event notification of Marwaha with the teachings of Natarajan to include using a directory service. Motivation to combine these references comes from the function of a directory service itself. Directory services are provided to store and organize information regarding a network, such as mapping network addresses to names of their respective network devices, relieving users from using unfriendly network

addresses. Combining the event notification of Marwaha with the directory service of Natarajan therefore creates a more user friendly experience by allowing the user to specify a name rather than a network address.

28. With respect to Claims 7, 17 and 27, Marwaha discloses: "wherein associating the event factory is followed by associating the content handler with the event factory (Figure 3, objects 304a, b and c, Page 15, Paragraph [0030], lines 7-9, the table below this and Paragraph [0031], lines 1-2). Marwaha doesn't disclose "locating the event factory using the directory service;" or "returning the common base event incorporated in the associated content handler from the event factory to the event source".

However Natarajan discloses: "locating the event factory using the directory service (Col. 26, lines 6-10)" and "returning the common base event incorporated in the associated content handler from the event factory to the event source (Abstract, lines 9-11)".

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify the event notification of Marwaha with the teachings of Natarajan to include using a directory service to locate the event factory. Motivation to combine these references comes from the function of a directory service itself. Directory services are provided to store and organize information regarding a network, such as mapping network addresses to names of their respective network devices, relieving users from using unfriendly network addresses. Combining the event notification of Marwaha with the location of the event factory using a directory service of Natarajan

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therefore creates a more user friendly experience by allowing the user to specify a name rather than a network address.

Also, it would have been obvious to one of ordinary skill in the art at the time of the invention to modify the event notification of Marwaha with the teachings of Natarajan to include sending the information back to the source. Motivation comes from Natarajan, "The updated control information is fed back to selected network elements to thereby affect operation of the selected elements" (Abstract, lines 9-11). By combining the event notification of Marwaha with sending information back to the source of Natarajan, the event notification system can affect operation of the elements based on event notification data.

29. With respect to Claims 8 and 18, Marwaha doesn't disclose: "wherein the directory service comprises a Java Naming and Directory(JNDI) service".

However Natarajan discloses: "wherein the directory service comprises a Java Naming and Directory(JNDI) service (Col. 26, lines 6-10)".

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify the event notification of Marwaha with the teachings of Natarajan to include using a Java Naming and Directory service. Motivation to combine these references comes from the function of a directory service itself. Directory services are provided to store and organize information regarding a network, such as mapping network addresses to names of their respective network devices, relieving users from using unfriendly network addresses. Combining the event notification of Marwaha with

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the Java Naming and Directory service of Natarajan therefore creates a more user friendly experience by allowing the user to specify a name rather than a network address.

### ***Conclusion***

30. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

- a. Hirata et al. (Patent No. US 6,219,701 B1) teaches a managing computer for storing log information and event information from a plurality of computers connected via a network.
- b. Wookey (Patent No. US 6,023,507) teaches remote monitoring system for automatically communicating system diagnostic information from a monitored computer to a remote computer at regular intervals.
- c. Levin et al. (Pub. No. US 2004/0128305 A1) teaches system for gathering data in an event driven environment.
- d. Sedlack (Pub. No. US 2002/0178253 A1) teaches establishing compatibility between heterogeneous log formats.
- e. Castanho et al. (Pub. No. US 2002/0087740 A1) teaches associating specific happenings with particular services and users.
- f. Ueoka et al. (Pub. No. US 2002/0002634 A1) teaches a controller that analyzes and converts messages from an attached computer.



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Any inquiry concerning this communication or earlier communications from the examiner should be directed to Matthew S. Lindsey whose telephone number is (571) 270-3811. The examiner can normally be reached on Mon-Thurs 7:30-5, Alternate Fridays 7:30-4.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Nabil El-Hady can be reached on (571) 272-3963. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

MSL  
11/13/07



**NABIL M. EL-HADY**  
**SUPERVISORY PATENT EXAMINER**